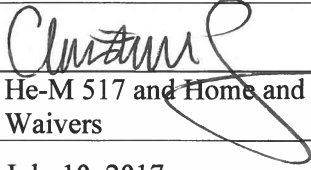


Policy Number	011
Policy Owner	Bureau of Developmental Services (BDS)
Policy Name	Prior Authorization Service Requests
From	Christine Santaniello, Director Long Term Supports and Services
Administrator's Signature	
Regulatory and Other Reference(s)	He-M 517 and Home and Community Based Services (HCBS) Waivers
Approval Date	July 10, 2017
Effective Date	August 1, 2017; January 1, 2018
Revision History	November 2, 2017
Key Contacts	BDS PA Supervisor, BDS Finance Administrator, BDS Liaisons

Policy Statement:

The Department of Health and Human Services [DHHS], BDS develops and maintains policies and procedures to outline the process for implementing BDS programs and services ensure compliance with applicable federal/state laws, regulations and requirements, and to support the BDS mission and strategic planning goals.

Purpose and Intent of Policy:

The purpose of this policy and procedure is to set forth the criteria and procedure for submitting a Service Authorization, hereinafter referred to as a Prior Authorization (PA) for services. PAs are to be submitted prior to the start of services as outlined in the policy.

Definitions:

Prior Authorization: The request and supporting documentation for covered services that gives authorization to a provider to bill for services. Without an approved Prior Authorization, there is no commitment or obligation from BDS for payment.

Unit/Service Level Change Request (UCR): Change to request a recipients covered services within a current authorization period.

Procedures for Submitting an Initial Prior Authorization:

1. Sixty (60) to Ninety (90) days prior to the start of services, the area agencies shall submit a Prior Authorization (PA) packet to MMIS (Conduent Solutions) which includes:
 - A PA application;
 - BDS functional screen; and
 - Current approved Service agreement.

During the start of a Biennium, special instructions may be released regarding initial PA requests related to Wait List allocations.

2. Upon entry into MMIS, Conduent Solutions will scan the PA packet for processing by the BDS Prior/Service Authorization Unit. The PA Unit shall review the PA request and either:
 - Approve;
 - Deny; or
 - Void.
3. BDS will document in MMIS the PA decision.
4. Upon receipt of BDS' decision, Conduent shall send a notification to the area agency:
 - If PA request is approved, the notification will be mailed to requesting Area Agency.
 - If denied, a Denial Letter will be mailed to the requesting area agency.
 - If a request is voided, a letter requesting additional information/documentation will be mailed to the requesting area agency.

Procedure for Submitting a Renewal Prior Authorization:

1. Forty-five (45) days prior to the renewal date of services, the area agency shall submit a PA packet to MMIS (Conduent Solutions) which includes:
 - A PA application;
 - BDS functional screen; and
 - Current approved Service agreement.
2. Upon entry into MMIS, Conduent Solutions will scan the PA packet for processing by the BDS Prior/Service Authorization Unit. The PA Unit shall review the PA request and either:
 - Approve;

- Deny; or
 - Void.
3. BDS will document in MMIS the PA decision.
 4. Upon receipt of BDS' decision, Conduent shall send a notification to the area agency:
 - If PA request is approved, the notification will be mailed to requesting area agency.
 - If denied, a Denial Letter will be mailed to the requesting area agency.
 - If a request is voided, a letter requesting additional information/documentation will be mailed to the requesting area agency.

For changes to existing PA, please follow the Reallocation of Funds Policy (032).

Procedure for submitting a Change Request:

1. At least thirty (30) days prior to the change in service(s), the area agency shall submit a Change Request through the submission of the following form:
 - Community Care Waiver Unit and/or Service Level Change Request Form (UCR Request Form).
2. For UCR's involving service additions and/or an increase in service, the source of funding must be identified. Examples of sources include, but are not limited to:
 - Regional specialty services funding;
 - Waiting List;
 - The individual's own budget/allocation;
 - Crisis funds; and/or
 - Identified underutilized Medicaid.
3. UCR's shall include individual-specific references to current assessment findings [for example, but not limited to: SIS, HRST, Risk Assessment] which provide the basis/justification for the requested change.
4. Following completion of the UCR Request Form, the area agency submits to BDS via E-studio with an e-mail notification to their Liaison and the Prior Authorization Unit, the form and supportive documentation which includes:
 - Basis/justification for the requested change and funding source;
 - Current approved service agreement amendment; and
 - Updated BDS functional screen.
5. Requests will be submitted using the following naming convention: R=Region, Individual's first and last initials, date; UCR for example R3.SH.4.12.16UCR.
6. UCR's will be reviewed by the Bureau Liaison within seven (7) business days of receipt. Requests that are incomplete and/or inaccurate will be returned to the area agency within seven (7) business

days of receipt. For approval the Liaison will communicate this to the area agency via email. The area agency will then need to enter the changes into the Budget Tracking System (BTS).

7. Final processing in MMIS of Unit Change Requests, once approved in BTS, will occur by the Prior Authorization Unit within fourteen (14) business days for all accurate and complete requests. Final notification of the approval/denial will be mailed from MMIS (Conduent Solutions) to the requesting area agency.

Extenuating Circumstances:

In the event of an emergency that requires an area agency to provide a change in service(s) without a prior authorization in place, the area agency shall submit in writing a request for post approval. This request is to be signed by the area agency Executive Director and submitted to the Bureau Liaison. Final approval will be determined by the BDS Director or designee.